



U.S. Department of Housing and Urban Development
Northwest/Alaska Multifamily Housing Hub
serving : Alaska, Idaho, Oregon and Washington

September 13, 1999

FIRM COMMITMENT CHECKLIST
Residential Care Facilities
232 New Construction and Substantial Rehabilitation

NAME OF PROJECT: _____

PROJECT NUMBER: _____

The Firm Commitment application can only be submitted by lenders approved to do FHA Multifamily financing in the Northwest/Alaska Multifamily Hub jurisdiction. To be approved, lenders must send a letter request, including a copy of their HUD-92000.1 Mortgagee Authorization form, to:

Mr. Robert Stettner
U.S. Department of HUD
Northwest / Alaska Multifamily Housing Hub
Seattle Federal Office Building
909 First Avenue, Suite 190, OAH
Seattle WA 98104-1000
206-220-5200 Ext. 3247

OR

Ms. Nikki Hawk
U.S. Department of HUD
Oregon Multifamily Program Center
400 Southwest Sixth Avenue
Portland OR 97204-1632
(Information Phone number : 503-326-2788)

A.	The Northwest/Alaska Multifamily Hub must receive one copy of the below listed exhibits including a copy of this completed checklist. Please note that all the 232 applications must be sent to the Seattle Hub for processing
B.	Under the PS, ENC or N/A column below, please indicate if the document was Previously Submitted and is not being resubmitted with a "PS" next to the numbered item. If the document is being submitted and is Enclosed with this checklist, please indicate with an "ENC". Indicate with N/A any documents that are not applicable for this submission.
C.	You must state the date the "Previously Submitted" or "Enclosed" document was last revised under

	the "Date of Document" column.		
D.	The application cannot be accepted without receipt of each required exhibit. Once all exhibits are received and determined acceptable, the application fee, the original application, and the required number of copies will be requested.		
E.	When requested, please hand deliver the application fee to the Multifamily Lead Project Manager in the Seattle Hub, via certified mail/return receipt		
	PS or ENC or N/A	Date of Document	Exhibit
1.	_____	___/___/___	Cover letter.
2.	_____	___/___/___	A complete form HUD-92013-NHICF, Application for Project Mortgage Insurance dated 5/92.
3.	_____	___/___/___	Form HUD-2576-HF-Certificate of need for Health Facility and Assurance of Enforcement of State Standards (except board and care facilities)
4.	_____	___/___/___	Certification in accordance with Section 1616(e) of the Social Security Act from the State of Washington (board and care facilities only).
5.	_____	___/___/___	A current license as required by the State and local jurisdiction (sub rehabilitation only).
6.	_____	___/___/___	<p>The "Byrd Amendment" Certification for Contracts, Grants, Loans, and Cooperative Agreements,</p> <p style="text-align: center;">or</p> <p>SF-LLL and SF-LLL-A, Disclosure of Lobbying Activities per HUD Notice H 90-27, if applicant has engaged in lobbying activity</p>
7.	_____	___/___/___	Applicant/Recipient Disclosure/Update Report (form HUD-2880) per HUD Notice H 95-4 (HUD)
8.	_____	___/___/___	Consultant resume, Housing Consultant Certificate (form HUD-92531) and Contract (form HUD-92531A) (if applicable).
9.	_____	___/___/___	Firm Commitment Plans and Specifications : All items listed in paragraph 2-7 of HUD Handbook 4460.1 REV-2. All exhibits must be consistent with Fair Housing Accessible Guidelines (FHAG).
10.	_____	___/___/___	Form HUD 5087, Outline Specification, for the detailed final work write-up and drawings and specifications (substantial rehabilitation only).
11.	_____	___/___/___	Form HUD-92328, Contractor's and/or Mortgagor's Cost Breakdown, with "other fee" attachment if appropriate. Note: must have statement "all line items contain Washington State sales tax." Separate 2328's are needed for accessory structures. Also include the following if applicable:
	_____	___/___/___	a. Major fixed equipment with description and costs.
	_____	___/___/___	b. Major movable equipment with description and costs not to be included in construction contract.
	_____	___/___/___	c. Minor non-mortgageable equipment/supplies.
	_____	___/___/___	d. Identification of "cost not attributable to dwelling use" and listing of what is included in "other fees".

	PS or ENC or N/A	Date of Document	Exhibit	
	_____	___/___/___	e.	Schedule of other work in progress.
12.	_____	___/___/___	Form HUD-92457 (HUD Survey Instructions and Report) and a Topographic Survey per Handbook 4460.1 Rev. 2 para. 2-7B.3	
13.	_____	___/___/___	A seismic hazard analysis of the building(s) by a registered engineer familiar with lateral force design, where applicable code requirements at the time of construction did not equal or exceed the referenced seismic standards.	
14.	_____	___/___/___	Form HUD-9372, Estimate of Construction Progress Schedule.	
15.	_____	___/___/___	AIA document B181, Owner-Architect Agreement, with the HUD Amendment attached, for both design and inspecting architects.	
16.	_____	___/___/___	Architect's resume for both the design and inspecting architects. The resumes should state previous HUD experience and include a copy of the current architect license.	
17.	_____	___/___/___	A soils report per paragraph 1-4M of HUD Handbook 4460.1 REV-1.	
18.	_____	___/___/___	A letter on all current building codes and year.	
19.	_____	___/___/___	Utilities and service assurance letters from the appropriate provider entities for:	
	_____	___/___/___	a.	Electricity
	_____	___/___/___	b.	Gas
	_____	___/___/___	c.	Water
	_____	___/___/___	d.	Sewer
	_____	___/___/___	e.	Storm drainage
20.	_____	___/___/___	A site plan. All dimensions should be shown, as well as location of proposed structures, streets, parking areas and drives, service and play areas (new construction only).	
21.	_____	___/___/___	A location map with the project clearly indicated.	
22.	_____	___/___/___	The legal description of the property.	
23.	_____	___/___/___	Evidence of permissive zoning, or evidence that needed rezoning is likely before submission of the Firm Commitment application.	
24.	_____	___/___/___	Evidence of site control.	
25.	_____	___/___/___	Market study or feasibility study, if available.	
26.	_____	___/___/___	Evidence of last arms-length transaction and price, including a certification by the sponsor that evidence submitted in response to this item reflects the last arms-length purchase price.	

	PS or ENC or N/A	Date of Document	Exhibit	
27.	_____	___/___/___	Reimbursement rate and percentage of patient population for each patient type:	
	_____	___/___/___	a.	Private patients with no insurance coverage or private insurance coverage;
	_____	___/___/___	b.	Medicare patients;
	_____	___/___/___	c.	Medicaid patients; and
	_____	___/___/___	d.	Supplemental Social Security (SSI) patients.
28.	_____	___/___/___	Current provider agreement for Medicare/Medicaid, if any (substantial rehabilitation only).	
29.	_____	___/___/___	Proposed operating budget which shows the projected income and expenses for the operating facility and also a projected supplementary budget for the period from the date of initial occupancy through sustaining occupancy.	
30.	_____	___/___/___	Form HUD-2013-Supp, Supplement to Application for a Multifamily Housing Project dated 10/92, on the sponsor, mortgagor, each principal of the mortgagor, and the general contractor.	
31.	_____	___/___/___	Form HUD-92004-F, Request for Verification of Deposit, for each bank reference included on form HUD-92013-Supp.	
32.	_____	___/___/___	Form HUD-2530, Previous Participation Certification dated 3/87, on all principal participants as identified on page one of Instructions for Completing the Previous Participation Certificate and is as follows:	
	_____	___/___/___	a.	Sponsors
	_____	___/___/___	b.	Mortgagor
	_____	___/___/___	c.	Principals of the mortgagor including all general partners, limited partners with at least 25 percent interest, stockholders with at least 10 percent interest, and corporate officers .and
	_____	___/___/___	d.	General contractor
	_____	___/___/___	e.	Management agent
	_____	___/___/___	f.	Loan broker/packager
	_____	___/___/___	g.	Housing consultant (for non-profit sponsors only)
	_____	___/___/___	h.	Architects and/or attorneys with other than an arms-length fee for professional services (if applicable)
	_____	___/___/___	i.	Affiliates which have the ability to control any principals (if applicable)

	PS or ENC or N/A	Date of Document	Exhibit	
33.	_____	___/___/___	Verification of Social Security Number and/or Employer Identification Number, by a third party governmental agency, for the sponsor, mortgagor, each principal of the mortgagor, and the general contractor.	
34.	_____	___/___/___	A listing of outstanding delinquent Federal debt for the sponsor, mortgagor, each principal of the mortgagor, and the general contractor.	
35.	_____	___/___/___	A loan commitment letter from the mortgagee which states the following: permanent loan interest rate, financing fees, permanent placement fees, FNMA or GNMA fees, discounts, bond fees, and other applicable fees. If using grant funds (non-profit only), a statement from the source as to the use and conditions tied to the funds.	
36.	_____	___/___/___	A listing from the sponsors, mortgagor, each principal of the mortgagor entity, and the general contractor of all business concerns in which these entities serve as a: general partner; limited partner with at least 25 percent interest; stockholder with at least 10 percent interest; or corporate officer.	
37.	_____	___/___/___	Current business and/or individual credit reports, within 30 days of the application date, on the following:	
	_____	___/___/___	a.	Sponsor
	_____	___/___/___	b.	Mortgagor entity
	_____	___/___/___	c.	General contractor
	_____	___/___/___	d.	Housing consultant (non-profit only)
	_____	___/___/___	e.	Principals of the mortgagor including all general partners, limited partners with at least 25 percent interest, stockholders with at least 10 percent interest, and corporate officers.
	_____	___/___/___	f.	Each business concern in which the sponsor, mortgagor, each principal of the mortgagor, or the general contractor have principal ownership (as defined by e. above)
				(1) credit reports are required on all of the following:
				(a) all commercial and non-real estate business;
				(b) all non-HUD insured residential real estate businesses under construction; and
				(c) all businesses involving a pending judgement(s), legal action, or bankruptcy claim
			(2)	credit reports are required on a 10 percent statistical sampling selected by the mortgagee of any remaining non-HUD insured residential housing ventures.
38.	_____	___/___/___	A certification from the sponsor, mortgagor, each principal, and the general contractor authorizing the release of banking and credit information.	

	PS or ENC or N/A	Date of Document	Exhibit	
39.	_____	___/___/___	A statement, certified to be true and correct by the sponsor, design architect, inspecting architect, general contractor, and (if applicable) lessee, broker/packager, and housing consultant as to whether an identity of interest exists between any and all parties involved in the project. (and form HUD 3435, Certificate of Contractual Relationship).	
40.	_____	___/___/___	Form HUD 3434, Certificate of Relationships and Nonprofit Motives (nonprofit only)	
41.	_____	___/___/___	current resume of the sponsor, mortgagor, principals of the mortgagor, the general contractor, and (if applicable) the housing consultant which includes previous HUD, real estate and construction experience.	
42.	_____	___/___/___	Current (within three months of the application date) financial statements (balance sheet, statement of income and expenses, cash flow statement, and supporting schedules) from the existing facility, sponsor, principals of the mortgagor, and the general contractor. Principals' financial statements are NOT REQUIRED when the mortgagor entity is fully funded to meet 100% cash requirements for closing under the CFT 2.0 processing guidelines.	
	_____	___/___/___	a.	For individuals, Personal Financial and Credit Report, form HUD-92417, signed by both spouses can be substituted for the financial statements, or
	_____	___/___/___	b.	Use a substitute form with the mortgagor's certification of truth and accuracy, and the U.S. Criminal Code Section 1010 statements as defined in HUD Handbook 4470.1 REV-2. The substituted form must have at a minimum the information requested in the HUD-92417.
	_____	___/___/___	c.	Business entities must provide financial statements and supporting documentation for the last three years (or length of existence whichever is less). Note: the most recent financial statements must be within three months of the application date.
				(1) the financial statements must be signed and dated by an authorized official of the company, have the mortgagor's certification of truth and accuracy, and the U.S. Criminal Code Section 1010 statements as defined in HUD Handbook 4470.1 REV-2.
				(2) if three years of project financial statements are not available due to circumstances beyond the borrower's control, provide an explanation why the financial statements are not obtainable.
43.	_____	___/___/___	A certification by the mortgagor listing all outstanding obligations of the project whether secured or unsecured.	

	PS or ENC or N/A	Date of Document	Exhibit	
44.	_____	___/___/___	The latest state agency medical/personal care facility agency(s) report on the project operation (substantial rehabilitation only)	
45.	_____	___/___/___	Copies of all Medicare and Medicaid audits with outstanding findings and/or repayment schedule of over-reimbursement in previous years (substantial rehabilitation only).	
46.	_____	___/___/___	A title search report which discloses all liens, secured transactions, former owners, and dates of the transfer of ownership.	
47.	_____	___/___/___	The proposed documents (e.g. partnership agreement or articles of incorporation) creating the single-asset mortgagor entity.	
48.	_____	___/___/___	All proposed leases or any other documents reflecting arrangements that would impact the project (e.g. commercial space, easements).	
49.	_____	___/___/___	A relocation plan if current occupants are to be displaced (if applicable).	
50.	_____	___/___/___	Form HUD-92010, Equal Employment Opportunity Certification.	
51.	_____	___/___/___	Form HUD-935.2, Affirmative Fair Housing Marketing Plan, signed by the management agent or the sponsor.	
52.	_____	___/___/___	Form FHA-3433, Determination of Eligibility as a Nonprofit Sponsor (if applicable).	
53.	_____	___/___/___	Management Exhibits, per HUD Handbook 4381.1 REV-:	
	_____	___/___/___	a.	Form HUD-9839(a), Management Certification for Owner-Managed Projects, or
	_____	___/___/___	b.	Form HUD-9839(b) dated 8/91, Management Certification for Projects with Identity of Interest or Independent Management Agent, or
	_____	___/___/___	c.	Form HUD-9839(c), Management Certification for Elderly Projects Managed by Project Administrators;
	_____	___/___/___	d.	Form HUD-9832, Management Entity Profile;
	_____	___/___/___	e.	List of positions charged against the project; and
	_____	___/___/___	f.	Application processing, tenant selection, and unit assignment policies and procedures.
	_____	___/___/___	g.	Management Agreement Certification
54.	_____	___/___/___	Brief description of proposed post-rehabilitation management policies and procedures (substantial rehabilitation only).	
55.	_____	___/___/___	Evidence of Real Estate Tax Abatement or Exemption (if applicable).	

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56.	_____	___/___/___	<p>Response(s) to all "Special Conditions" contained in HUD's SAMA letter (if applicable):</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>																																																
57.	_____	___/___/___	<p>The following additional exhibits are required if "Consolidated Fast Track" processing has been authorized by HUD:</p> <table border="1"> <tbody> <tr> <td>_____</td> <td>___/___/___</td> <td>a.</td> <td>for rehab - Lender-provided comprehensive building Inspection Report on the condition of the structures, remaining useful life and cost of repairs and/or replacement and required rehabilitation together with all attachments in accordance with the NW/A CFT 2.0 Architect Statement of Work (SOW).</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>b.</td> <td>for rehab - Contract for Services between the Inspector and the Lender signed by both the Inspector and the Lender.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>c.</td> <td>Lender provided full appraisal prepared by a state certified appraiser in accordance with HUD's specification. The appraisal must be no more than six months old.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>d.</td> <td>Contract for Services between the Appraiser and the Lender including the NW/A CFT 2.0 Appraiser Statement of Work/checklist (SOW) signed by the appraiser, lender and underwriter.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>e.</td> <td>Appraiser Statement of Work / Checklist, incl. Debt Service Mortgage Criterion Worksheet.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>f.</td> <td>Lender's Environmental Checklist and Phase I Environmental Analysis that conforms to ASTM standards. All environmental issues must be resolved prior to submission of the firm application.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>g.</td> <td>Certification from a review architect (from HUD's TDC list) that the plans and specifications meet all HUD and local government design criteria together with all attachments in accordance with the NW/A CFT 2.0 Architect Statement of Work (SOW).</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>h.</td> <td>Contract for Services between the review architect and the lender signed by both the Architect and the Lender.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>i.</td> <td>Fully funded mortgagor entity: a financial statement and VOD's (and/or pre-pays if applicable) verifying funds available equal 100% of the lender's estimate of final cash requirements.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>j.</td> <td>Mortgagee's Certification that they have completed Credit Report and Financial Statement Analysis and verified the information therein.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>k.</td> <td>HUD-92264 Project Analysis and Appraisal, with Appraiser/Underwriter Certification.</td> </tr> <tr> <td>_____</td> <td>___/___/___</td> <td>l.</td> <td>HUD-92264A Supplement to Project Analysis.</td> </tr> </tbody> </table>	_____	___/___/___	a.	for rehab - Lender-provided comprehensive building Inspection Report on the condition of the structures, remaining useful life and cost of repairs and/or replacement and required rehabilitation together with all attachments in accordance with the NW/A CFT 2.0 Architect Statement of Work (SOW).	_____	___/___/___	b.	for rehab - Contract for Services between the Inspector and the Lender signed by both the Inspector and the Lender.	_____	___/___/___	c.	Lender provided full appraisal prepared by a state certified appraiser in accordance with HUD's specification. The appraisal must be no more than six months old.	_____	___/___/___	d.	Contract for Services between the Appraiser and the Lender including the NW/A CFT 2.0 Appraiser Statement of Work/checklist (SOW) signed by the appraiser, lender and underwriter.	_____	___/___/___	e.	Appraiser Statement of Work / Checklist, incl. Debt Service Mortgage Criterion Worksheet.	_____	___/___/___	f.	Lender's Environmental Checklist and Phase I Environmental Analysis that conforms to ASTM standards. All environmental issues must be resolved prior to submission of the firm application.	_____	___/___/___	g.	Certification from a review architect (from HUD's TDC list) that the plans and specifications meet all HUD and local government design criteria together with all attachments in accordance with the NW/A CFT 2.0 Architect Statement of Work (SOW).	_____	___/___/___	h.	Contract for Services between the review architect and the lender signed by both the Architect and the Lender.	_____	___/___/___	i.	Fully funded mortgagor entity: a financial statement and VOD's (and/or pre-pays if applicable) verifying funds available equal 100% of the lender's estimate of final cash requirements.	_____	___/___/___	j.	Mortgagee's Certification that they have completed Credit Report and Financial Statement Analysis and verified the information therein.	_____	___/___/___	k.	HUD-92264 Project Analysis and Appraisal, with Appraiser/Underwriter Certification.	_____	___/___/___	l.	HUD-92264A Supplement to Project Analysis.
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	_____	___/___/___	m.	HUD-92438 Underwriting Summary Report.	
	_____	___/___/___	n.	FHA 2432 Commitment to Insure Upon Advance (unexecuted).	
	_____	___/___/___	o.	Evidence of the following development team experience:	
	_____	___/___/___		(1)	Lender has closed at least two Section 232 projects of subject type in any HUD office, or one in Seattle HUD office.
	_____	___/___/___		(2)	Sponsor has developed at least one Section 232 project of subject type in any HUD office or at least two similar projects conventionally.
	_____	___/___/___		(3)	Project architect has designed at least two projects of similar type.
58.	_____	___/___/___	The following are "optional exhibits." If available, please provide the following, or any other items, that will help expedite our processing.		
	_____	___/___/___	a.	An assessor's map with parcel numbers.	
	_____	___/___/___	b.	A recent tax statement from the assessor's office.	
	_____	___/___/___	c.	A zoning map of the immediate neighborhood.	
	_____	___/___/___	d.	Information/documentation on wetlands, flood hazards, or other special property features.	
	_____	___/___/___	e.	Photographs of the property and immediate area.	
<p>It is the policy of the U.S. Department of Housing and Urban Development to encourage the participation of Women and Minority- owned Business Enterprises (WMBEs) wherever possible in the Departments programs. As a recipient of the FHA-insured loan, the owner, sponsor, and the general contractor must provide evidence prior to final endorsement that WMBEs were given an opportunity to bid on, and participate in, at least 20 percent of the dollar value of all contracts awarded.</p> <p>Note: HUD Forms, Handbooks, Notices, and similar publications may be obtained by contacting (Telephone) 800-767-7468, (Facsimile) 202-708-2313, or (Writing) HUD - Printing Branch, 451 - 7th Street SW, Room B-100, Washington DC 20410.</p> <p>If there are questions about exhibit requirements, please contact the Northwest/Alaska Hub Office nearest you</p> <div style="display: flex; justify-content: space-around; margin-top: 20px;"> <div style="text-align: center;"> <hr style="width: 200px;"/> <p>Multifamily Project Manager</p> </div> <div style="text-align: center;"> <hr style="width: 100px;"/> <p>Date</p> </div> </div>					